



04-29-2

P.C.T

IC20 Rec'd PCT/PTO 25 APR 2002


Date 4/25/02 Label No. EV 028721612-43

I hereby certify that, on the date indicated above, this paper or fee was deposited with the U.S. Postal Service & that it was addressed for delivery to the Assistant Commissioner for Patents, Washington, DC 20231 by "Express Mail Post Office to Addressee" service.

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B.W. LEE B.W. Lee
Name (Print) Signature

Customer No.: 
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PATENT TRADEMARK OFFICE

Docket No.: 2644/1F609US4

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Joseph Borkowski

Serial No.: 10/031,996 Art Unit:

Confirmation No.: 1064

Filed: January 22, 2002 Examiner:

For: SYSTEM AND METHOD FOR MANAGING SWAP ORDERS

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LETTER

Box PCT
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Washington, DC 20231

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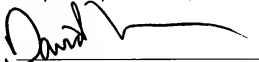
Sir:

A signed Declaration/Power of Attorney was previously filed with the Patent Office on February 8, 2002. The Declaration/Power of Attorney was filed prior to receiving the Notification of Missing Requirement from the Patent and Trademark Office. A copy of the recently-mailed Notification of Missing Requirements is enclosed at Tab A.

A copy of the signed Declaration/Power of Attorney, Transmittal for Second Submission, and check for payment of the late fee is enclosed at Tab B.

Dated: April 25, 2002

Respectfully submitted,

A handwritten signature in black ink, appearing to read 'David Leason', is written over a horizontal line.

David Leason
Reg. No. 36,195
Attorney for Applicant(s)

DARBY & DARBY P.C.
Post Office Box 5257
New York, NY 10150-5257
212-527-7700



UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box PC1
United States Patent and Trademark Office
Washington, D.C. 20231
www.uspto.gov

U.S. APPLICATION NUMBER 10/031,996	FIRST NAMED APPLICANT Joseph Borkowski	ATTY. DOCKET NO. 2644/1F609-US4
INTERNATIONAL APPLICATION NO. PCT/US00/20394		
I.A. FILING DATE 07/24/2000	PRIORITY DATE 07/23/1999	

David Leason
Darby & Darby
805 Third Avenue
New York, NY 10022-7513

CONFIRMATION NO. 1064

371 FORMALITIES LETTER



OC000000007740642

Date Mailed: 04/01/2002

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as an Elected Office (37 CFR 1.495):

- U.S. Basic National Fees
- Indication of Small Entity Status
- Priority Document
- Copy of IPE Report
- Copy of references cited in ISR
- Copy of the International Application
- Copy of the International Search Report
- Oath or Declaration
- Preliminary Amendments
- Small Entity Statement

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The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date. The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) in that it:
 - is not executed in accordance with either 37 CFR 1.66 or 37 CFR 1.68.

ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTH FROM THE DATE OF THIS NOTICE OR BY 22 or 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)



A copy of this notice **MUST** be returned with the response.

PATRICIA A BOOKER

Telephone: (703) 305-3738

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/031,996	PCT/US00/20394	2644/1F609-US4

FORM PCT/DO/EO/905 (371 Formalities Notice)

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Return of this card properly stamped and acknowledge receipt of:

Transmittal for Second Submission (2 pgs.); Signed Declaration
(2 pgs.); Check No. 5531 for \$65.00



Applicant : Joseph BORKOWSKI
Serial No. : I/b/a
Filed : Concurrently Herewith
For : SYSTEM AND METHOD FOR MANAGING SWAP
ORDERS
Attorney : DL:HR
File No. : 2644/1F609-US4

Mailed 2/8/02 Mailer: DP

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PARTS

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DARBY & DARBY PROFESSIONAL PATENT OFFICE 805 THIRD AVENUE NEW YORK, NY 10022		1-852 210 43348074	5531
DATE <u>2-8-02</u>			
PAY TO THE ORDER OF COMMISSIONER OF PATENTS & TRADEMARKS		\$ <u>65</u> ⁰⁰ / _{xx}	
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MEMO <u>2644/1F609US4</u>		<u>Gabriella Kananoff</u>	
⑆02⑆000089⑆ 43348074⑆ 5531			

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**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)**

INTERNATIONAL APPLICATION NO. PCT/US00/20394	INTERNATIONAL FILING DATE 24 July 2000	PRIORITY DATE CLAIMED 23 July 1999
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TITLE OF INVENTION

APR 25 2002

PATENT & TRADEMARK OFFICE

SYSTEM AND METHOD FOR MANAGING SWAP ORDERS

APPLICANT(S) FOR DO/EO/US

Joseph BORKOWSKI

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Applicant herewith submits to the United States Designated/Elected office (DO/EO/US) the following items and other information:

1. (I) This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.
2. (X) This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.
3. (I) This is an express request to begin national examination procedures (35 U.S.C. 371 (f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371 (b) and PCT Articles 22 and 39 (1).
4. (I) A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. (I) A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
 - a. (I) is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. (I) has been transmitted by the International Bureau.
 - c. (I) is not required, as the application was filed in the United States Receiving Office (RO/US)
6. (I) A translation of the International Application into English (35 U.S.C. 371 (c)(2)).
7. (I) Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. (I) are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. (I) have been transmitted by the International Bureau.
 - c. (I) have not been made; however, the time limit for making such amendments has NOT expired.
 - d. (I) have not been made and will not be made.
8. (I) A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c) (3)).
9. (X) An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4))
10. (I) A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

Items 11. to 16. below concern other document(s) or information included:

11. (I) An Information Disclosure Statement under 37 CFR 1.97 and 1.98 (with references).
12. (I) An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. (I) A FIRST preliminary amendment.
(I) A SECOND or SUBSEQUENT preliminary amendment.
14. (I) A substitute specification.
15. (I) A change of power of attorney and/or address letter.
16. (I) Other items or information:

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EXPRESS MAIL CERTIFICATE

Date 2/8/02 Label No. 2767723512 US

I hereby certify that, on the date indicated above, this paper or fee was deposited with the U.S. Postal Service & that it was addressed for delivery to the Assistant Commissioner for Patents, Washington, DC 20231 by "Express Mail Post Office to Addressee" service.

Name (Print)

Signature

17. [x] The following fees are submitted:

Basic National Fee (37 CFR 1.492 (a)(1)-(5)):
Search Report has been prepared by the EPO [] or JPO [] \$890.00

International preliminary examination fee paid to USPTO (37 CFR 1.482) \$710.00

No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445 (a) (2))... \$740.00

Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO..... \$1,040.00

International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4).... \$100.00

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Surcharge of \$130.00 for furnishing the oath or declaration later than [120] [130] months from the earliest claimed priority date [37 CFR 1.492(e)].

\$130.00

Claims	Number Filed	Number Extra	Rate	
Total Claims	-20		X \$18.00	\$
Independent Claims	-3		X \$84.00	\$
Multiple dependent claims(s) (if applicable)	+ 280			\$
TOTAL OF ABOVE CALCULATIONS =				\$
Reduction by 1/2 for filing by small entity, if applicable.				\$65.00
SUBTOTAL =				\$65.00
Processing fee of \$130.00 for furnishing the English translation later than [] 20 [] 39 months from the earliest claimed priority date [37 CFR 1.492(f)].				\$
TOTAL NATIONAL FEE =				\$
Fee for recording the enclosed assignment (37 CFR 1.21(h)), the assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				\$
TOTAL FEES ENCLOSED =				\$65.00
				Amount to be refunded: \$
				charged: \$

- a. [X] A check in the amount of \$65.00 to cover the above fees is enclosed.
- b. [] Please charge my Deposit Account No. 04-0100 in the amount of \$ to cover the above fees.
- c. [X] The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 04-0100. A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

David Leason
Darby & Darby P.C.
805 Third Avenue
New York, New York 10022-7513

SIGNATURE

NAME David Leason

REGISTRATION NO. 36,195

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